

RECEIVED

APR 02 2002

TECH CENTER 1600/2900

RECEIVED

TECH CENTER 1600/2900

Please type a plus sign (+) inside this box



PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

02 APR -1 PM 3:14

#6  
4/3/02**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/872,183
Filing Date	31 May 2001
First Named Inventor	Melissa K. Carpenter
Group Art Unit	1632
Examiner Name	Anne Marie Baker
Attorney Docket Number	094/004D

Total Number of Pages in This Submission

4

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO Form 1449; References (6)
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	J. Michael Schiff, Registration No. 40,253
Signature	
Date	March 29, 2002

**CERTIFICATE OF HAND DELIVERY**

I hereby certify that this correspondence is being delivered by hand to the U.S. Patent Office in accordance with 37 CFR 1.6(b), addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this date: <u>April 1, 2002</u>			
Typed or printed name	<u>Sharr Hall White</u>	Date	<u>April 1, 2002</u>
Signature			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED

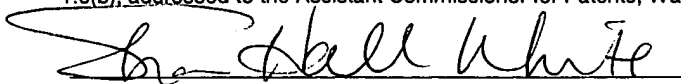
APR 02 2002

PATENT

TECH CENTER 1600/2900/1600/2900  
RECEIVED  
02 APR - 1  
PM 3:14

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being delivered by hand to the U.S. Patent Office in accordance with 37 CFR § 1.6(b), addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated.

  
Name

April 1, 2002  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of: Carpenter et al.

Serial No.: 09/872,183

Filing Date: May 31, 2001

For: MAKING NEURAL CELLS FOR HUMAN  
THERAPY OR DRUG SCREENING FROM  
HUMAN EMBRYONIC STEM CELLS

Art Unit: 1632

Examiner: Anne Marie Baker

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

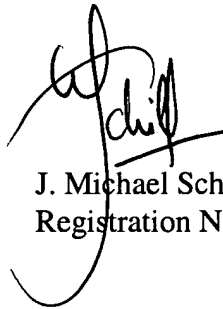
Dear Sir:

The information listed in the accompanying form PTO-1449 and provided herewith may be material to examination of this application and is submitted in compliance with the duty of disclosure under 37 CFR § 1.56. The Examiner is requested to make this information of record in the application.

This Information Disclosure Statement is not to be construed as a representation that a full search for relevant information has been made, that all relevant information has been found, or that the information provided with this Statement is considered to be material to patentability of the claimed invention as defined under 37 CFR § 1.56(b).

It is believed that no fee is required for submission of this Statement, which is filed before the first Office Action on the merits of the application. Nevertheless, should a fee be required for consideration of this Statement and the listed information, the Assistant Commissioner is authorized to charge such fee to Deposit Account No. 07-1139, referencing the attorney Docket Number indicated above.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "J. Michael Schiff", is written over a horizontal line.

J. Michael Schiff  
Registration No. 40,253

GERON CORPORATION  
230 Constitution Drive  
Menlo Park, CA 94025  
*Telephone: (650) 473-7715*  
*Fax: (650) 473-8654*

Date: March 29, 2002

Form 1449 (modified)	Docket: 094/004D Supplemental 2	U.S.S.N. 09/872,183
Information Disclosure Statement By Applicant	Title: Making Neural Cells for Human Therapy or Drug Screening from Human Embryonic Stem Cells Inventors: Carpenter, et al.	
(Use Several Sheets if Necessary)	Filing Date: May 31, 2001	Group: 1682

#### U.S. Patent Documents

Examiner Initial	Ref.	Patent No.	Filing Date	Issue Date	Class/ Subclass	Inventors:	Title:
(none)							

#### Foreign Patent or Published Foreign Patent Application

Examiner Initial	Ref.	Document No.	Publ. Date	Jurisdiction	Title:	Translation
	EA	WO 98/50526	Nov 12/98	PCT	Generation, Characterization, and Isolation of Neuroepithelial Stem Cells and Lineage Restricted Intermediate Precursor	n/a
	EB	WO 99/01159	Jan 14/99	PCT	Lineage-Restricted Neuronal Precursors	n/a
	EC	WO 99/28443	Jun 10/99	PCT	Lineage Restricted Glial Precursors from the Central Nervous System	n/a

#### Other Documents

Examiner Initial	Ref.	Author, Title, Date, Source
	ED	Kalyani, A., et al., Cell Lineage in the Developing Neural Tube, Biochem. Cell Biol. 76:1051 (1998)
	EE	Li, M., et al., Generation of Purified Neural precursors from Embryonic Stem Cells by Lineage Selection, Current Biol., Current Science 8:971 (1998)
	EF	Mujtaba, T., et al., Lineage-Restricted Neural Precursors Can Be Isolated from Both the Mouse Neural Tube and Cultured ES Cells, Dev. Biol. 214:113 (1999)

Examiner	Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

APR 02 2002

RECEIVED

TECH CENTER 1600/2900